

**CONFIDENTIAL****PRIVILEGED****PERKINS COIE LLP- MENLO PARK**

FAX NUMBER: (650) 838-4350

IF THERE ARE PROBLEMS WITH THIS TRANSMISSION, PLEASE CALL

(650) 838-4312

**FAX RECEIVED**

FEB 10 2003

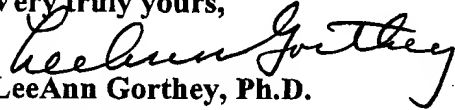
**GROUP 1600**Addressee: U.S. Patent and Trademark Office FAX NO. 703 308-4407  
(COMPANY)Group 1600 Attn: Charla Bowers Direct Dial 703 308-0198  
(INDIVIDUAL)From: LeeAnn Gorthey Date February 5, 2003Cover Sheet & 15 pages Client Number: 58603-8190.US01Return to Lynn Anderson 4415  
NAME EXT. OFFICE LOCATIONOriginal document(s) will be: ☐ sent to you via Courier ☒ held in our filesRE: US Ser. No. 09/498,701 filed 2/7/00 for CATALYTIC COMPOSITIONS AND METHODS FOR  
ASYMMETRIC ALLYLIC ALKYLATION

Dear Sirs:

Enclosed are copies of all of the papers submitted with the issue fee on September 14, 2001 in  
the above-referenced case.We also include a copy of the stamped return postcards showing receipt in the Patent Office of  
the issue fee and associated documents on September 24, 2001, and the formal drawings on same date.

Thanks for your assistance in getting this matter resolved.

Very truly yours,

  
LeeAnn Gorthey, Ph.D.  
Patent Agent


Sent By \_\_\_\_\_


☐ Call Addressee to confirm they received this fax.

Registration No. 37,337

Customer No. 22918

This Fax contains confidential, privileged information intended only for the intended addressee. Do not read, copy or disseminate it unless you are the intended addressee. If you have received this Fax in error, please email it back to the sender at perkinscoie.com and delete it from your system or call us (collect) immediately at (650) 838-4300, and mail the original Fax to Perkins Cole LLP, 101 Jefferson Drive, Menlo Park, CA 94025.

Attorney Docket No.: 8603-0190.20		Date Mailed: September 14, 2001
Inventor/Applicant: Trost et al..		
Serial/Patent No.: 09/498,701		Filing/Issue Date: February 7, 2000
<p>Papers Enclosed</p> <p><input checked="" type="checkbox"/> Transmittal of Issue Fee and Advance Order</p> <p><input checked="" type="checkbox"/> Form PTOL-85B Part B-Issue Fee Transmittal</p> <p><input checked="" type="checkbox"/> Copy of Request for Corrected Filing Receipt, filing receipt with correction noted thereon and PTO stamped return postcard showing receipt in Patent Office on May 15, 2001</p> <p><input checked="" type="checkbox"/> An Application Data Sheet showing correct priority information.</p>		<p>Received by the U.S. Patent and Trademark Office.</p> 

Attorney Docket No.: 8603-0190.20		Date Mailed: September 14, 2001
Inventor/Applicant: Trost et al..		
Serial/Patent No.: 09/498,701		Filing/Issue Date: February 7, 2000
<p>Papers Enclosed</p> <p><input checked="" type="checkbox"/> Transmittal of Formal Drawings</p> <p><input checked="" type="checkbox"/> 5 Sheets of Formal Drawings</p>		<p>Received by the U.S. Patent and Trademark Office.</p> 

Attorney Docket No. 8603-0190.20

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C., 20231, on:

Date: September 14, 2001By: Lynne Anderson

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF:

Trost et al.

SERIAL No.: 09/498,701

FILED: February 7, 2000

FOR: CATALYTIC COMPOSITIONS AND  
METHODS FOR ASYMMETRIC ALLYLIC  
ALKYLATION

EXAMINER: Desai, R.

ART UNIT: 1625

ISSUE BATCH NO. H77

DATE OF NOTICE OF

ALLOWANCE: June 18, 2001

Transmittal of Issue Fee and Advance Order

Box Issue Fee  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In response to the Notice of Allowance dated June 1, 2001,  
applicant herewith submits the following:

- ☒ Form PTOL-85B
- ☒ Copy of Request for Corrected Filing Receipt, filing receipt with correction noted thereon, and PTO stamped return postcard showing receipt in the Patent Office on May 15, 2001.
- ☒ An Application Data Sheet showing the correct priority information.
- ☒ Please charge Deposit Account No. 50-0665 for:
  - 1) Issue Fee (37 CFR 1.18(a)): ☒ Large Entity: \$1240.00
  - 2) Fee (\$39.00) for 13 advance copies of the printed patent (37 CFR 1.19(a)(1)(i)) \$ 39.00
- ☒ Please charge any additional fees necessary for consideration of this paper to Deposit Account No. 50-0665.

Respectfully submitted,

LeeAnn Gorthey

Registration No. 37,337

Date: 9-14-01Correspondence Address:

Customer No. 22918

Phone: 650 838-4403

## PART B—ISSUE FEE TRANSMITTAL

Complete and mail this form, together with applicable fees, to: **Box ISSUE FEE**  
**Assistant Commissioner for Patents**  
**Washington, D.C. 20231**

**MAILING INSTRUCTIONS:** This form should be used for transmitting the ISSUE FEE. Blocks 1 through 4 should be completed where appropriate. All further correspondence including the Issue Fee Receipt, the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Legibly mark-up with any corrections or use Block 1)

Dehlinger & Associates  
 Post Office Box 60850  
 Palo Alto CA 94306

HM22/0618

Note: The certificate of mailing below can only be used for domestic mailings of the Issue Fee Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing.

## Certificate of Mailing

I hereby certify that this Issue Fee Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Box Issue Fee address above on the date indicated below.

Lynnea B. Anderson

(Depositor's name)

Lynnea B. Anderson

(Signature)

September 14, 2001

(Date)

APPLICATION NO.	FILING DATE	TOTAL CLAIMS	EXAMINER AND GROUP ART UNIT	DATE MAILED
09/498,701	02/07/00	012	DESAI, R	1625 06/18/00
First Named Applicant	TROST,	35 USC 154(b) term ext.	0 Days.	

TITLE OF INVENTION CATALYTIC COMPOSITIONS AND METHODS FOR ASYMMETRIC ALLYLIC ALKYLATION

ATTY'S DOCKET NO.	CLASS-SUBCLASS	BATCH NO.	APPLN. TYPE	SMALL ENTITY	FEE DUE	DATE DUE
1 8603-0190.2	546-002.000	H77	UTILITY	NO	\$1240.00	09/18/00

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363). Use of PTO form(s) and Customer Number are recommended, but not required.

- ☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.
- ☐ "Fee Address" Indication (or "Fee Address" Indication form PTO/SB/47) attached.

2. For printing on the patent front page, list (1) the names of up to 3 registered patent attorneys or agents OR, alternatively, (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

LeeAnn Gorthey

- 1 \_\_\_\_\_
- 2 \_\_\_\_\_
- 3 \_\_\_\_\_

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)  
**PLEASE NOTE:** Unless an assignee is identified below, no assignee data will appear on the patent. Inclusion of assignee data is only appropriate when an assignment has been previously submitted to the PTO or is being submitted under separate cover. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE The Board of Trustees of the Leland Stanford Junior University

(B) RESIDENCE: (CITY & STATE OR COUNTRY)

Palo Alto, California U.S.A.

Please check the appropriate assignee category indicated below (will not be printed on the patent)

- ☐ individual ☒ corporation or other private group entity ☐ government

4a. The following fees are enclosed (make check payable to Commissioner of Patents and Trademarks):

- ☐ Issue Fee
- ☐ Advance Order - # of Copies \_\_\_\_\_

4b. The following fees or deficiency in these fees should be charged to:

DEPOSIT ACCOUNT NUMBER 50-0665  
 (ENCLOSE AN EXTRA COPY OF THIS FORM)

- ☒ Issue Fee
- ☒ Advance Order - # of Copies 13

The COMMISSIONER OF PATENTS AND TRADEMARKS IS requested to apply the Issue Fee to the application identified above.

(Authorized Signature)

LeeAnn Gorthey

(Date)

9-14-01

NOTE: The Issue Fee will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the Patent and Trademark Office.

**Burden Hour Statement:** This form is estimated to take 0.2 hours to complete. Time will vary depending on the needs of the individual case. Any comments on the amount of time required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND FEES AND THIS FORM TO: Box Issue Fee, Assistant Commissioner for Patents, Washington D.C. 20231

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMIT THIS FORM WITH FEE

COPY

## FILING RECEIPT

\*OC00000005018789\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: ASSISTANT SECRETARY AND  
COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/498,701	02/07/2000	1612	690	8603-0190.2	4	11	2

Dehlinger & Associates  
Post Office Box 60850  
Palo Alto, CA 94306

RECEIVED

APR 10 2000

COPY

DEHLINGER &amp; ASSOCIATES, LLP

Date Mailed: 03/30/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Barry M. Trost, Los Altos, CA ;  
Iwao Hachiya, Tokyo, JAPAN;

## Continuing Data as Claimed by Applicant

THIS APPLICATION IS A DIV OF 09/213,395 12/15/1998  
WHICH CLAIMS PRIORITY OF 60/068,128 12/19/1997

## Foreign Applications

If Required, Foreign Filing License Granted 03/29/2000

\*\*

## Title

Catalytic Compositions and methods for asymmetric allylic alkylation

## Preliminary Class


546

Data entry by : BLIZZARD, SHARON

Team : OIPE

Date: 03/30/2000

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63 64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100

Attorney Docket No.: 8603-0190.20	Date Mailed: May 11, 2001
Inventor/Applicant: Barry M. Trost et al.	
Serial/Patent No.: 09/498,701	Filing/Issue Date: February 7, 2000
<p>Papers Enclosed:</p> <p><input checked="" type="checkbox"/> Request for Corrected Filing Receipt</p> <p><input checked="" type="checkbox"/> Copy of Original Filing Receipt with change noted thereon in blue ink.</p> <p>COPY</p>	<p>Received by the U.S. Patent and Trademark Office.</p> 



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

**FILE COPY**

CONFIRMATION NO. 9198



Bib Data Sheet

<b>SERIAL NUMBER</b> 09/498,701	<b>FILING DATE</b> 02/07/2000 <b>RULE</b>	<b>CLASS</b> 546	<b>GROUP ART UNIT</b> 1625	<b>ATTORNEY DOCKET NO.</b> 8603-0190.2
------------------------------------	---	---------------------	-------------------------------	---

**APPLICANTS**

Barry M. Trost, Los Altos, CA;  
Iwao Hachiya, Tokyo, JAPAN;

**\*\* CONTINUING DATA \*\*\*\*\***

RD 10/28/04  
THIS APPLICATION IS A DIV OF 09/213,395 12/15/1998 PAT 6,130,349  
AND CLAIMS BENEFIT OF 60/068,128 12/19/1997

**\*\* FOREIGN APPLICATIONS \*\*\*\*\*****IF REQUIRED, FOREIGN FILING LICENSE GRANTED**

\*\* 03/29/2000

Foreign Priority claimed <input checked="" type="checkbox"/> yes <input type="checkbox"/> no	<b>STATE OR COUNTRY</b> CA	<b>SHEETS DRAWING</b> 4	<b>TOTAL CLAIMS</b> 11 12	<b>INDEPENDENT CLAIMS</b> 2
35 USC 119 (a-d) conditions met <input checked="" type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance RD 10/28/04				
Verified and Acknowledged	Examiner's Signature	Initials		

**ADDRESS**

Dehlinger & Associates  
Post Office Box 60850  
Palo Alto ,CA 94306

**TITLE**

Catalytic Compositions and methods for asymmetric allylic alkylation

<b>FILING FEE RECEIVED</b> 690	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:	<input type="checkbox"/> All Fees
		<input type="checkbox"/> 1.16 Fees ( Filing )
		<input type="checkbox"/> 1.17 Fees ( Processing Ext. of time )
		<input type="checkbox"/> 1.18 Fees ( Issue )
		<input type="checkbox"/> Other _____
		<input type="checkbox"/> Credit